



State of Michigan
Department of Career Development
King•Chávez•Parks Initiative

Select Student Support Services (4-S) Program Administrative Handbook

Grant Cycle: October 1, 2003 through September 30, 2006

**Current Program Period: October 1, 2003 through September 30, 2004
Year One of a Three-Year Grant Cycle
PA 144-03 of 2003**

Revised September 25, 2003

Michigan Department of Career Development
Office of Postsecondary Services
King•Chávez•Parks Initiative
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State of Michigan
Department of Career Development - King•Chávez•Parks Initiative
Select Student Support Services (4-S) Program
Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

October 1, 2003 marks the beginning of the first year of a three-year grant cycle (October 1, 2003 through September 30, 2006). **The effective period of this handbook and for Public Act 144-03 is October 1, 2003 through September 30, 2004. Note ‘PA 144-03’ in all correspondence related to the current program period.**

Updates and changes to the program, handbook, report forms, or database will be sent to program coordinators and/or will be posted on the Michigan Department of Career Development website (www.michigan.gov/mdcd, link to Career Preparation, link to Office of Postsecondary Services, link to King•Chávez•Parks Initiative).

The following components constitute a complete “Contract Agreement Package” between the Michigan Department of Career Development and the Grantee:

- A. The original proposal and any clarifications or final approved modifications, and the final approved budget;
- B. Administrative Handbook for Select Student Support Services (4-S) Program for the grant cycle beginning October 1, 2003, inclusive of any revisions; and,
- C. Grant Agreement signed by MDCD signatory and Institution designee.

Failure of the successful Grantee to accept these obligations as detailed in the documents listed above may result in cancellation of the award.

The Grantee shall monitor performance to ensure that implementation of the program follows the guidelines of the funded application (and/or approved modifications). Grantees are also responsible for timely and accurate submission of reports. Prior Experience Points will be awarded during the RFP review process for submission of timely and accurate 4-S program reports during the previous grant year and final reports demonstrating progress in achieving 4-S core indicators.

Beginning this year (PA 144-03 2003-2004), reports are to be entered into the Access Database and submitted electronically. See the Access Database manual for instructions and the Grantee Report Responsibilities Calendar for deadlines. Report documents in the Attachment Section are included only as backup and samples. Use these report documents only when directed by KCP.

Any Grant resulting from this RFP (4-S #03-RFP-008, Rev. May 9, 2003) may not be modified, amended, extended, or augmented, except by a written agreement executed by the parties hereto, and any breach or default by a party shall not be waived or released other than in writing signed by the other party.

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PROGRAM DESCRIPTION

The Select Student Support Services (4-S) Program was created by the Michigan State Legislature in 1987 as part of the larger King•Chávez•Parks (KCP) Initiative. The legislative intent is to increase the graduation rate of academically and economically disadvantaged students currently enrolled in either a public or private four-year university.¹ The intent of the 4-S Program is to provide seed money that will serve as a catalyst for institutional change, stimulating more coordinated efforts within institutions, permanently ensuring both short- and long-term measurable improvement in graduation rates of targeted students.

The support services provided to students varies greatly from institution to institution. Many Michigan institutions have developed programs of “best practice” that are very effective in reaching disadvantaged students and implementing systemic institutional change. A few of the lessons that have been learned over the years include: the importance of a commitment to the program at the president’s level increases the likelihood that institutional barriers can be overcome; programs that address change in institutional systems have longer-lasting impact; and, programs that recognize the role that faculty plays are critical to improving students’ persistence to baccalaureate completion.

The Michigan Department of Career Development’s King•Chávez•Parks Initiative provides oversight to the 4-S Program and technical assistance to the institutions. 4-S Program Coordinators and their colleagues at the college/university level are invited and encouraged to attend other KCP Initiative sponsored activities such as the annual “Equity in the Classroom” conference. Also, the KCP Initiative annually hosts a statewide meeting for 4-S Program Coordinators to provide an opportunity for programs to exchange information on successful program practice, keep abreast of educational reform and provide useful suggestions to improve program outcomes.

This handbook contains information, guidelines and reporting responsibilities to assist 4-S Program Coordinators in carrying out successful programs. The policies and procedures have been approved by the Michigan Department of Career Development, which is referred to as the Department or MDCC in this handbook. All questions should be directed to the KCP Grant Administrator, Rudy Redmond, Manager of the King•Chávez•Parks Initiative at (517) 373-9700, fax (517) 373-2759 or e-mail redmondrc@michigan.gov. The mailing address is: Michigan Department of Career Development, Office of Postsecondary Services, King•Chávez•Parks Initiative, Victor Office Center, 4th Floor, 201 N. Washington Square, Lansing, Michigan 48913.

¹ The definition of “academically and economically disadvantaged” is left to the applicant institution and should be included in the proposal. Because a disproportionate number of underrepresented minorities (African American, Latinos and Native Americans) come from disadvantaged school districts, programs should focus on these target populations. It is recognized that not all minorities are disadvantaged, and these students are not intended to be the focus of the program. However, if they are served incidentally by the program, they may be counted as served.

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FY 2003 – 2004 Awards for 4-S Programs

Albion College: Project Step Ahead	\$ 76,439
Baker College: Total Learning Commitment (TLC)	\$ 42,779
Calvin College: Tapestry	\$ 61,047
College for Creative Studies: Study Clinics	\$ 56,701
Davenport University: Students United for Retention and Excellence (SURE) Program.....	\$ 93,264
Eastern Michigan University: Select Student Support Services Contact Program.....	\$121,222
Kettering University: Enhancing Engineering Student Retention Through New Teaching/Learning Paradigms	\$ 93,590
Lawrence Technological University: Students in Technology Achieving Results	\$138,742
Madonna University: Program for Realizing Educational Potential (PREP)	\$139,892
Michigan State University: The Charles Drew Science Enrichment Lab	\$ 27,413
Michigan State University (College of Nursing): LEAP Initiative	\$ 68,321
Michigan State University: Peer Advising Leadership (PAL) Program	\$ 44,161
Michigan Technological University: Project RISE – Excelling in Science and Engineering	\$139,698
Northern Michigan University: Gateway Academic Program (GAP).....	\$ 69,407
Oakland University: Students First.....	\$ 71,664
Olivet College: Integrated Career Development Program.....	\$ 69,407
Saginaw Valley State University: College Transitions	\$116,580
University of Detroit Mercy: Gateway to Math Success V.....	\$ 40,803
University of Detroit Mercy: Professional Mentor Program Plus	\$ 39,043
University of Michigan – Ann Arbor: Pathways to Student Success and Excellence (POSSE) Program.....	\$130,908
University of Michigan – Flint: Bridges to Success Program.....	\$109,811
Wayne State University: Pathways to Nursing: First Year to First Year	\$ 63,610
Wayne State University: Math Corps Student Success Center	\$ 76,447
William Tyndale College: Comprehensive Efforts Toward Achievement (CETA)	\$ 46,650
<hr/>	
Total.....	\$1,937,610

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Legislative Direction for PA 144-03 of 2003

Sec. 503. (1) Included in part 1 is funding for the Martin Luther King, Jr. • César Chávez • Rosa Parks select student support services program for developing academically and economically disadvantaged student retention programs for 4-year public and independent educational institutions in this state.

(2) An award made under this program to any 1 institution shall not be greater than \$150,000.00, and the amount awarded shall be matched on a 70% state, 30% college or university basis.

(3) The program shall be administered by the Michigan department of career development.

Sec. 507. Each state institution of higher education receiving funds under section 503, 504, or 506 shall notify the Michigan department of career development by April 15, 2004 as to whether it will expend by the end of its fiscal year the funds received under section 503, 504, or 506. Notwithstanding the award limitations in sections 503 and 504, the amount of funding reported as not being expended will be reallocated to the institutions that intend to expend all funding received under section 503, 504, or 506.

Term of Grant

In the event that the Legislature modifies, fails to provide, or terminates the funding necessary for KCP grants, the State may cancel or modify KCP grant awards.

Awards granted under this RFP are effective October 1, 2003 through September 30, 2006. The legislature establishes the annual one-year program period that corresponds with the state fiscal year (October 1 through September 30) and the signing of the Michigan Higher Education Appropriations legislation. Continuation renewal may be authorized annually for October 1, 2004 through September 30, 2005 and October 1, 2005 through September 30, 2006 for grantees funded under this RFP (4-S #03-RFP-008, Rev. May 9, 2003). Renewals depend upon: satisfactory grantee performance, availability of State funds, and institutionalizing the program along guidelines established for KCP 4-S programs. The award of a grant under this RFP# 03-RFP-008 (Rev. May 9, 2003) does not imply annual or continued funding at the conclusion of the three-year grant cycle.

The Michigan Department of Career Development is not liable prior to the annual continuation of the Grant Agreement by all parties for any costs incurred by any applicant. The prospective Grantee should realize that payments in any given fiscal year are contingent upon enactment of legislative appropriations. Total liability of the State is limited to the terms and conditions of this signed grant agreement.

Once every three years, the State of Michigan King•Chavéz•Parks Initiative invites Michigan public and private colleges and universities to submit a 4-S proposal application for funding. A program funded by RFP #03-RFP-008 (Rev. May 9, 2003) is eligible for continuation funding for up to three (3) years. The next RFP will be available in the spring of 2006.

Grant Awards

Funded Grantees met the high standards established in the revised May 9, 2003 Request For Proposals (RFP), and were selected for funding on the basis of a peer review. Grant awards were announced by the Michigan Department of Career Development for Select Student Support Services (4-S) Programs beginning October 1, 2003 through September 30, 2004. This is year one (PA 144-03) of a three-year grant cycle. For Fiscal Year 2003-2004, \$1,956,100 was appropriated for the Select Student Support Services (4-S) Program. The state award (which cannot total more than \$150,000 per institution) equals 70% of the total program budget; institutions demonstrate their commitment to the programs by providing the remaining 30%. These grants are intended to serve as catalysts for institutional change.

Completion of a signed contract document between the Grantee and the Department of Career Development's Office of Contracts and Grants formalizes the commitment between the two parties. The signed contract, a signed acceptance of the grant award and a signed request for 100% payment of the grant award allows the Office of Financial Services to execute payment. No grant program may be modified, amended, extended, or augmented, except by a written agreement executed by the parties hereto, and any breach or default by a party shall not be waived or released other than in writing by the other party.

Proposal Review

Proposals are reviewed by three- to five-member peer review teams. Committee members are appointed by the KCP Grant Administrator, and the teams include representatives from the President's Council of State Universities and the Independent Colleges/Universities Association. Each review committee member individually rates the proposals assigned to their respective team. The committee meets to review the proposals and recommends both the award recipients and the award amounts. There is no obligation to fund the proposal at the requested amount. If merited, Prior Experience Points are added to individual continuation proposal scores by KCP staff. The review team members' ratings, inclusive of appropriate Prior Experience Points, are standardized and the final ratings ranked in descending order. The total pool of applications in ranked order is then recommended for funding. There is no expectation that all proposals will be funded. Final grant awards are determined when the annual Higher Education Appropriations Act (which funds all KCP Initiative programs) is approved. The KCP Grant Administrator forwards the recommendation for funding to the Director of the Department of Career Development. Upon receipt of approval, awards are announced and all Grantee contracts are completed, facilitating funding for program start-up on October 1.

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Policies and Procedures

Acceptance of the 4-S state award entails administering the program and expending award and institution matching funds in accordance with the policies and procedures set forth in the 4-S PA 144-03 Administrative Handbook.

Accounting and Budget

The Grantee shall adhere to the Generally Accepted Accounting Principles and shall maintain records that will allow for the comparison of actual outlays with budgeted amounts. The Grantee's overall financial management system must ensure effective control over and accountability for all funds received. Accounting records must be supported by source documentation. The expenditure of program funds, inclusive of both state and institution shares, shall be reported by line item category with line item specific detail.

Cost sharing is a program requirement and is subject to audit. Care must be taken when assigning and allocating cost to award funds. The practice an institution uses in estimating cost must be consistent with accounting practices used by an institution in accumulating and reporting costs. Although no specific allocation method is mandated or precluded, the method used must result in an equitable distribution of cost to the programs that benefit from the shared costs.

4-S Programs are cautioned not to include program costs that would be unacceptable within their own institutions and/or would be considered out-of-line with program costs within their institution. 4-S Program awards should not supplant funding for programs currently funded by other sources.

- A. The state budget, the Department of Career Development, the Department of Management and Budget, and the State Administrative Board will determine the grant payment cycle.
- B. State of Michigan award funds must be expended within the State fiscal year/program period (October 1 through September 30). There will be no carry forward. State of Michigan award funds not expended during the fiscal year/program period will lapse to the State General Fund.
- C. If directed by the KCP Initiative to submit a hardcopy, the Final Expenditure Report must be prepared in collaboration with the institution's Accounting Office or Contracts and Grants Office. Final Expenditure Reports submitted with the 4-S Final Report Package must be signed by the authorized signatory for the Accounting or Contracts and Grants Office to ensure compliance with institutional and 4-S Program policies and procedures. **Beginning this year (PA 144-03 2003-2004), reports are to be entered into the Access**

Database and submitted electronically. See the Access Database manual for instructions and the Grantee Report Responsibilities Calendar for deadlines.

All Final Expenditure Reports must include (at a minimum) the following:

- Line item expenditure detail for both the state award and institution matching funds.
- Line item accounting of all revisions.
- Line item accounting of all unexpended state award and institution matching funds.
- Summary totals for state award dollars (maximum of 70% of total final budget), institution matching funds (minimum of 30% of total final budget) and identification of any unexpended state award dollars to be returned to the state.
- Source documentation for all “Dedicated Percentage Time Staff.”
- Source documentation for all cost shares.

- D. The Grantee shall retain all financial records, supporting documents, program reports with documentation and all other pertinent records for a period of three (3) years after submission of the final report package.
- E. Significant changes within budget line categories and all changes across budget line item categories require prior review and written approval by the KCP Grant Administrator or his designee.
- F. Institutions that receive KCP Initiative funds for more than one program are reminded that funds cannot be transferred across KCP programs or to other programs of the institution. Institutions are also reminded that State of Michigan KCP 4-S funds may not be used as institutional match for any other KCP programs (College Day, MHED, etc.).
- G. All unexpended funds identified in the 4-S Final Expenditure Report must be returned to the State of Michigan by December 10, 2004 (when the 4-S Final Report is due). **Send the check separately – do NOT enclose the check with the Final Report (if a hardcopy of the Final Report is requested by KCP).**
- H. At the discretion of the Grantor (Department of Career Development), the program may be subject to a final audit prior to or after the conclusion of the program period.
- I. **Funding for the following elements are EXCLUDED from both state and matching funds:**
- **Indirect Costs:** Indirect costs are the real cost of institution operations officially known as facilities and administration costs. Overhead expenses such as rent and utilities are also considered indirect costs.
 - **All Financial Aid:** Financial Aid for 4-S participants, either directly (i.e. scholarships, payment of tuition, stipends, workstudy, etc.) or indirectly (i.e. transportation, textbook allowances, child care support, etc.).
 - **Out-of-State Travel:** For project staff, support staff, students or others directly or indirectly associated with the 4-S Program.
 - **Research Projects.**

- **Course Development.**
- **Student Field Trips** to museums, theaters, restaurants, sports events, etc.
- **Purchase or Lease of Equipment:** Equipment is not circumscribed by cost and is defined as any tool used to implement an operation or activity. Equipment includes, but is not limited to: pagers, telephones, VCR's, televisions, palm pilots, computers, copy machines, fax machines, etc.
- **Unapproved Personnel:** persons not anticipated and explicitly shown in the final approved program proposal and budget.

J. Funding for the following elements must be approved by the MDCD KCP Initiative prior to inclusion in the 4-S Program budget. These elements will be based on “facts and circumstances” directly related to the support of 4-S Program goals, objectives and activities on behalf of academically and economically disadvantaged students.

- **Library and Instructional Materials:** Are allowable only when these materials support the proposed 4-S Program objectives and support the 4-S Core Indicators.
- **In-State Student Travel:** Is allowable when related to the retention and graduation of students from Michigan higher education institutions and supports the objectives of the 4-S Program.
- **In-State Program Staff Attendance at Conferences and Seminars:** All travel in this area is allowable when related to the retention and graduation of targeted 4-S students and support the 4-S Core Indicators.
- **Room and Board:** Only allowable when a residential program outside the normal school year is included in the 4-S Program (proposal).

K. 4-S Program Personnel: Full-Time Program Staff and Dedicated Percentage Time Staff. These are the two categories of personnel involved with the implementation of most 4-S Programs. ALL staff involvement must be directly related to the 4-S Program goals, objectives and activities, and must be anticipated and explicitly shown in the program budget. No state or matching funds may be used for unapproved personnel.

- **Full-Time Program Staff:** Known as Personnel (“FTE’s” on the budget summary), are individuals dedicated exclusively to the achievement of 4-S Program goals, objectives and activities.
- **Graduate or Undergraduate Assistants:** Full- or Part-Time Assistants can be utilized by 4-S Programs in the same manner as other program staff when their role is defined and essential to the achievement of the Program goals, objectives and activities. Assistants’ compensation must follow the standards established by the institution and can include tuition, fee payment and benefits associated with the standard compensation package.
- **Dedicated Percentage Time Staff:** Are individuals with limited and defined roles for the achievement of 4-S Program activities. Their roles must be integral and necessary for the achievement of Program activities. Institution Administration and Support Personnel whose roles in the institution are permanently established to meet the administrative demands of institution functions and grant/program support are considered “Indirect Cost” and are excluded from state and matching funds.

- L. Documentation of Percentage of Time for Dedicated Percentage Time Staff: Charges to the 4-S Program are aligned with program activities and specifically identify the work performed. Charges, either as state funds or as institution match, must be based on the individual's regular compensation for the continuous period that, under the policy of the institution concerned, constitutes the basis of his/her salary. Charges for work performed during the program period are allowable at the base salary rate. In no event will charges to the 4-S Program, irrespective of the basis of computation, exceed the proportionate share of the base salary for the period. Staff Release Authorization is required for ALL Dedicated Percentage Time Staff.

Procedures for the Transfer of Unexpended Funds

- The Unexpended/Unencumbered Funds Report, due July 9, 2004 as part of the Mid-Year Progress Report Package, allows the KCP Initiative to identify state grant award funds that are anticipated to be unexpended by the grantee by the end of the current program period September 30, 2004. **(Reports are to be entered into the Access Database and submitted electronically - see the Access Database manual for instructions and the Grantee Report Responsibilities Calendar for deadlines.)**
- Section 507 of PA 144-03 allows the MDCD to reallocate these funds, within the maximum award limitations as specified in Section 503, to an institution that intends to expend all funding received under Section 503.
- Reallocated state award dollars must be used to continue or expand approved grant activities or to enhance grant approved activities in a manner that strengthens the achievement of 4-S core program goals.

Review and Identification of Anticipated Unexpended Funds

- The MDCD KCP Initiative will review the Unexpended/Unencumbered Funds Reports, due July 9, 2004 as part of the Mid-Year Progress Report Package, and identify anticipated unexpended grant award funds. **(Reports are to be entered into the Access Database and submitted electronically - see the Access Database manual for instructions and the Grantee Report Responsibilities Calendar for deadlines.)**
- If adequate funds are available to warrant reallocation, the KCP Initiative will notify grantees of the availability of funds and requirements for application.

Grantees Applying for the Use of Unexpended Funds

- Grantees must submit a written request by the required date and time, which includes:
 - a) a summary of the anticipated use of the funds;
 - b) a proposed new program budget clearly identifying line item use of the funds; and,
 - c) documentation of the addition of a minimum of 30% institution match that corresponds with the additional state grant award funds.
- Reallocated state award dollars must be utilized by the end of the current program period (September 30, 2004) and must be used to continue or expand approved grant

activities or to enhance grant approved activities in a manner that strengthens the achievement of 4-S core program goals.

- Grant programs participating in the reallocation of funds will be required to sign a corresponding modified grant agreement with the MDCCD that will indicate all changes made to the grant and reporting responsibilities.

Grantees Returning Unexpended Funds

- Grantees will receive a modification to the MDCCD grant agreement that will include information of the adjusted grant award.
- Unexpended funds must be returned and made payable to the State of Michigan and must include a note or memo on the check identifying “KCP 4-S PA 144-03.”
- Checks are to be mailed to:
Michigan Department of Career Development
Office of Postsecondary Services
King•Chávez•Parks Initiative
Victor Office Center, 4th Floor
201 N. Washington Square
Lansing, MI 48913

General Provisions

- A. During the 3-year grant cycle, programs may make changes in program activities and objectives based upon lessons learned and influencing factors that occur during the program period. Programs must address these changes in their Mid-Year Progress and Final Reports. Any significant changes to the proposal must be submitted in writing to the State of Michigan King•Chávez• Parks Initiative for authorization prior to the due dates for these reports; the authorized modifications must be documented in the Mid-Year Progress Report, Final Program Report and Final Expenditure Report. Program changes resulting from benefits afforded by lessons learned while implementing programmatic activities and working toward institutionalization should improve outcomes for the program reports. **(Reports are to be entered into the Access Database and submitted electronically - see the Access Database manual for instructions and the Grantee Report Responsibilities Calendar for deadlines.)**

Modifications to the budget must also be submitted to the King•Chávez•Parks Initiative for authorization.

- B. Grantees are required to immediately submit in writing to MDCCD KCP Initiative changes to key program personnel, persons responsible for the overall administration of the grant, address and telephone numbers and/or general contact information for the program. If changes to Dedicated Percentage Time Staff occur, new Staff Release Authorizations must be immediately submitted to the KCP office.
- C. Grantees are responsible for attending the annual 4-S Program meeting held in the fall of each program period. The program meeting will provide grantees with legislative guidelines, 4-S Policies and Procedures, technical support, best practice models and grant

implementation procedures. Grantees must oversee their 4-S program in accordance with the Administrative Handbook.

- D. 4-S Programs will acknowledge support from the Michigan Department of Career Development's King•Chávez•Parks Initiative in all program printed materials, programs/activities and/or marketing information.
- E. 4-S Programs must serve as catalysts for institutional change that ensures retention, and completion of baccalaureate degrees for academically and economically disadvantaged students once 4-S funding through the King•Chávez•Parks Initiative has ended.
- F. The Grantee agrees to comply with all pertinent federal and state regulations and legislation involving civil rights, equal opportunity and affirmative action including (but not limited to) Title VI of the Civil Rights Act of 1964, and Act No. 453, Michigan Public Acts of 1976.
- G. The Grantee, all contractors and subcontractors are responsible for providing and maintaining customary institutional liability protection and "hold harmless" provisions, at all times, for all 4-S Program persons and property (as provided to any and all regular programs of the institution).
- H. News releases that discuss the results of the 4-S Program require prior approval and specific written direction from the King•Chávez•Parks Initiative.
- I. Newspaper articles regarding 4-S Programs or activities may be submitted to the KCP Initiative so that the good news can be shared.

Prior Experience Points

Prior Experience Points are awarded to grant programs that have consistently demonstrated exceptional performance in meeting the requirements and specific program policies and procedures designated by the MDCD KCP Initiative during a program's grant cycle. The KCP Initiative staff monitors and reviews all aspects of the grantee's performance during the three-year grant cycle and will award Prior Experience Points to the Peer Review Team's rating of a grantee's proposal application for continued funding. Each new cycle begins a new process of activities and the development of strategies that work toward institutionalization of that new program.

NOTE: 100 maximum points may be earned for the RFP. Prior Experience Points, if awarded, are then added to that score.

Prior Experience Points may be applied to the final RFP score in this sample points earnings table as follows (if the maximum number of points is earned):

Year 1: PA 144-03 10/1/03 – 9/30/04	Year 2: PA 2004 10/1/04 – 9/30/05	Year 3: PA 2005 10/1/05 – 9/30/06
	+ 1 point for PA 144-03 final report	+ 1 points for PA 144-03 final report
+ 2 points for PA 144-03 spring and mid-year reports	+ 2 points for PA 2004 spring and mid-year reports	+ 2 points for PA 2004 spring and mid-year reports
		+ 4 bonus points for PA 144-03 final & PA 2004 spring and mid-year reports
Maximum of 2 points added to 2006 RFP final score	Maximum of 3 points added to 2006 RFP final score	Maximum of 7 points added to 2006 RFP final score

Prior Experience points are assessed as follows:

Points are awarded for **complete** individual reports submitted **by due date**:

Spring Unexpended/Unencumbered Funds Report 1 point
Mid-Year Progress Report Package 1 point
Final Report Package 1 point

Bonus points are awarded for programs submitting **all** reports during the 3-year grant cycle:

Bonus 1: that are complete and received by the due date 1 point
Bonus 2: that satisfy the goals and objectives from approved proposal..... 1 point

Bonus points are also awarded for **all** final reports demonstrating:

Bonus 3: progress in achieving Core Indicator #1 1 point
Bonus 4: progress in achieving Core Indicator #2 1 point

4-S Program Core Outcome Indicators

All program objectives must contribute to achieving 4-S Program Core Outcome Indicators:

- Core Outcome #1: Increase retention of participating academically and economically disadvantaged students on to graduation.
- Core Indicator #1: Smaller gap between the percent of 4-S participants who are retained at and graduate from the public or private 4-year institution compared to the overall retention and graduation rates for the entire institution.
- Core Outcome #2: Programs started through 4-S funding will still be serving academically and economically disadvantaged students after termination of KCP/state funding.
- Core Indicator #2: Implemented strategies moving away from KCP/state funding to internal institution and/or other external funding sources allowing for the continuation of 4-S services to academically and economically disadvantaged students.

Institutionalization

Select Student Support Services (4-S) Program grants are intended to serve as catalysts for institutional change, increasing the retention and graduation rates of academically and economically disadvantaged students (identified by the institutions as having the greatest need). Research has demonstrated that pilot projects, such as 4-S, continue to play an important role in developing long-term, systemic institutional change.

To successfully move toward institutionalization, KCP 4-S programs will:

- know how the project is impacting the target population within the institution and how this impact is influencing the institution.
- have strategies to assess how the project can fit into the overall mission/goals of the institution for the target population.
- have key institution decision makers involved in the goals of the project and in the process of institutionalizing the project.
- have strategies that work toward the programmatic and budgetary commitments to institutionalize the project or components of the project that will remain after state funding ends.
- have a detailed, projected three-year timeline for accomplishing institutionalization.
- assume larger percentages of the program cost during each successive program year.

KCP 4-S programs effect systemic institutional change when those changes are:

- central rather than marginal.
- connected to other core institution activities rather than isolated.

- organized and developed through some institutionwide mechanism rather than by an isolated committee.
- maintained by an institutional infrastructure rather than by temporary staff and project structure.

A 4-S Program becomes institutionalized when a college/university has:

- an institutional position on the retention of academically and economically disadvantaged students in its mission.
- a mission of the retention of academically and economically disadvantaged students as an integral part of the ongoing planning process of all institution departments and committees.
- budgetary commitments to efforts addressing the goal of retaining academically and economically disadvantaged students.
- created institutional environments that value and recognize the role of retaining academically and economically disadvantaged students in the educational environment of institutions and the world students are being prepared to enter.
- recognized that faculty are critical to improving students' persistence by creating expectations and support for curriculum and instructional strategies that provide opportunities for students from a broad range of cultural/racial backgrounds to succeed.
- integrated a successful 4-S program into common work practices.
- integrated 4-S Program goals into its infrastructure.

Reporting Responsibilities of Grantee

The Grantee shall monitor performance to ensure that implementation of the program follows the guidelines of the funded application (and/or approved modifications). Grantees are also responsible for timely and accurate submission of reports. Prior Experience Points will be awarded during the RFP review process for submission of timely and accurate 4-S program reports during the previous grant year and final reports demonstrating progress in achieving 4-S core indicators. Report documents in the Attachment Section are included only as backup and samples. Use these report documents only when directed by KCP. **Beginning this year (PA 144-03 2003-2004), reports are to be entered into the Access Database and submitted electronically. See the Access Database manual for instructions and the Grantee Report Responsibilities Calendar for deadlines.**

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative
Select Student Support Services (4-S) Program
Grantee Report Responsibilities Calendar
Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Spring Unexpended/Unencumbered Funds Report: **Postmarked by April 16, 2004**

- Spring Report Cover Sheet
- Spring Unexpended/Unencumbered Funds Report

Electronic Database Report: **E-mailed by July 9, 2004**

E-mail submission of 4-S Electronic Database Update to martellp@michigan.gov
Reports are to be entered into the Access Database and submitted electronically - see the Access Database manual for instructions and Attachment A for Sample Report Forms (to be used only when directed by KCP). This Mid-Year Progress Report Package includes:

- Mid-Year Progress Report Package Cover Sheet
- Mid-Year Unexpended/Unencumbered Funds Report
- Mid-Year Progress Report
- Significant Change Narrative (if warranted)

Electronic Database Report: **E-mailed by December 10, 2004**

E-mail submission of 4-S Electronic Database Update to martellp@michigan.gov
Reports are to be entered into the Access Database and submitted electronically - see the Access Database manual for instructions and Attachment B for Sample Report Forms (to be used only when directed by KCP). This Final Report Package includes:

- Final Report Cover Sheet
- Final Program Expenditure Report: this information is to be submitted in collaboration with the institution's Accounting Office or Contracts and Grants Office
- Return payment of unexpended funds (if applicable) to the State of Michigan
- 4-S Program Core Indicator:
 - ◆ Core Outcome #1
 - ◆ Core Outcome #2
- 4-S Final Program Summary Report
- Brief Narrative Describing: Program Success and Lessons Learned (Max.of 3 pages)

Return of Unexpended Funds: **Send by December 10, 2004**

- Return payment of unexpended funds (if applicable) to the State of Michigan (**send check separately – do NOT enclose the check with the Final Report (if a hardcopy of the Final Report is requested by KCP).**)

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative
Select Student Support Services (4-S) Program & Oversight Timeline
Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

October 1, 2003	New 4-S Program Start-up for PA 144-03 (Year 1 of a 3 year grant cycle) Program Period October 1, 2003 – September 30, 2004
Oct. 1, 2003 – Sept. 30, 2004	Best Practice On-Site Visits, Technical Assistance Visits (due to the status of the state budget, these visits may be canceled or delayed)
October 1 – 10, 2003	Selection of Grantee Pool On-Site Monitoring Visit Candidates: Random Group & Risk Factor Candidates
Oct. 6, 2003 – Jan. 23, 2004	Risk Factor Candidates On-Site Monitoring Visits (due to the status of the state budget, these visits may be canceled or delayed)
October 3, 2003	4-S Program Meeting, Lansing, Michigan
February 2 – April 19, 2004	Random Group On-Site Monitoring Visits (due to the status of the state budget, these visits may be canceled or delayed)
April 16, 2004	Final postmark date for Spring Unexpended/Unencumbered Funds Report
April 19 – July 30, 2004	Desk Audit Review Spring Unexpended/Unencumbered Funds Report
May 10 – September 30, 2004	Risk Factor Visits (due to the status of the state budget, these visits may be canceled or delayed)
July 9, 2004	Forwarding 4-S Electronic Database Update (Mid-Year Progress Rpt Package) Due for PA 144-03 Program Period 10/1/03 – 9/30/04
July 12 – September 30, 2004	Desk Audit Review Mid-Year Progress Reports
July – October 2004	State of Michigan Grant Renewal Authorization Process (contingent upon final approved State budget and signing of Higher Education Appropriations Bill for the second year of a three (3) year cycle).
September – October 2004	Continuation award renewal announcement (contingent upon final approved State budget and signing of Higher Education Appropriations Bill for the second year of a three (3) year cycle).
October 1, 2004	Continuation 4-S Program Period Start-Up for Year 2 of the 3 year cycle (October 1, 2004 – September 30, 2005)
December 10, 2004	Forwarding 4-S Electronic Database Update (Final Report Package) Due for PA 144-03 Program Period 10/1/03 – 9/30/04.
December 10, 2004	Return payment of unexpended funds (if applicable) to the State of Michigan with the PA 144-03 Final Report Package (do NOT enclose with Final Report if a hardcopy is required)
December 2004 - April 2005	Desk Audit Review Final Reports for PA 144-03 Program Period: October 1, 2003 – September 30, 2004 Identify Any Risk Factors

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative
Select Student Support Services (4-S) Program
Spring Report Cover Sheet
To be postmarked no later than April 16, 2004

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____

Program Name: _____

Program Coordinator: _____

Address: _____

Phone: _____

Fax: _____

E-mail: _____

The following documents comprise the entire 4-S Spring Report:

- Spring Report Cover Sheet
- Spring Unexpended/Unencumbered Funds Report

This report is to be prepared and signed by both the Program Coordinator and Program Evaluator.

Program Coordinator: _____
Sign and Print Name Date

Program Evaluator: _____
Sign and Print Name Date

Program Evaluator Phone Number

E-mail Address

Attach this Cover Sheet to the top of the Spring Unexpended/Unencumbered Funds Report and mail to:

Michigan Department of Career Development
Office of Postsecondary Services
King•Chávez•Parks Initiative
201 N. Washington Square
Victor Office Center, 4th Floor
Lansing, MI 48913

Phone: (517) 373-9700
Fax: (517) 373-2759

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative
Select Student Support Services (4-S) Program
Spring Unexpended/Unencumbered Funds
To be postmarked no later than April 16, 2004
Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____

Program Name: _____

Budget Update

Approved Program Budget for Year One of a Three-Year Grant Cycle:

State Award (70%): \$ _____

Institution Contribution (30%): \$ _____

Total Budget: \$ _____

Is your 4-S Grant Program expending state award and institution matching funds as projected?

? Yes ? No

If no, briefly explain: _____

4-S Program Coordinator Signature:

Signature: _____
Sign and Print Name Date

Contact information for the person from the Institution Accounting or Contracts & Grants Office collaborating with the 4-S Program Coordinator to prepare this report:

Print Name Signature Phone Number Date

Attach this Spring Unexpended/Unencumbered Funds form to the Spring Cover Sheet and mail to:

Michigan Department of Career Development
Office of Postsecondary Services
King•Chávez•Parks Initiative
201 N. Washington Square
Victor Office Center, 4th Floor
Lansing, MI 48913

Phone: (517) 373-9700
Fax: (517) 373-2759

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative
Select Student Support Services (4-S) Program
Technical Assistance and Monitoring Protocol
Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Since 1987, experience with Michigan’s public universities and participating private institutions has provided evidence of the high quality of program management and implementation of KCP Initiative Programs. Therefore, the primary purpose for on-site visits by KCP Initiative staff members or department representatives focuses on:

- Opportunities to support and gather information about “best practices” to share with other institutions.
- Providing opportunities for institutions to showcase “best practice” models with the state office and/or desired representatives.
- Providing technical assistance to programs in applying norms of quality.

Secondary on-site responsibilities focus on monitoring state funded KCP Initiative 4-S Programs. The information that follows provides a description of the monitoring protocols for the KCP Initiative 4-S Programs.

Grantee Responsibilities

The Grant Administrator for the Select Student Support Services (4-S) Programs is the Department of Career Development’s King•Chávez•Parks (KCP) Initiative. Grantees are responsible for completing designated reports. Grantee responsibilities and reporting forms have been covered in the “Reporting Responsibilities of Grantees” section of this 4-S Administrative Handbook. **Reports are to be entered into the Access Database and submitted electronically - see the Access Database manual for instructions and the Grantee Report Responsibilities Calendar for deadlines.**

King•Chávez•Parks Initiative Monitoring Activities

The MDCD KCP Initiative monitoring responsibilities include two separate activities: a “Desk Audit Review” and an “On-Site Review.” Each component has its own protocol.

I. Desk Audit Review Protocol

NOTE: Prior Experience Points will be awarded during the RFP review process for submission of timely and accurate 4-S program reports during previous grant years.

- A. First, reports submitted from Grantees are reviewed for:
- All reports are submitted by the due dates and are ready for review.
 - Final reports demonstrate progress in achieving core indicators.

- B. Second, reports are reviewed in detail using a standard format. Examples of the “Desk Audit Review” forms are included as Attachments C and D. Completed reports become part of the Grantee KCP Initiative office file. Grantees may request a copy of the “Desk Audit Review” by contacting the KCP Consultant. Grantee reports also form the basis for determining individual program technical assistance needs, for identifying content for KCP Initiative sponsored technical assistance/professional development opportunities and aid in determination of on-site review selections.

II. On-Site Review Protocol

There are three ways a Grantee will be identified for an on-site monitoring visit: randomly selected 10% of the annual Grantee cohort, risk factor concerns, and/or request by Grantee.

Random Selection

Ten percent (10%) of the annual Grantee pool will be randomly selected, during the first week of October, for on-site monitoring visits.

Risk Factor

Grantees may be selected for an on-site monitoring visit based upon the following program risk factor considerations:

- Proposal Application Review Findings
- Desk Audit Review Findings
- Prior Year Report Findings
- Last On-Site Monitoring Visit
- Institutional History with KCP Initiative
- Experience/Familiarity with 4-S Requirements
- Dollar Amount of Program

Request

Grantees may also request an on-site monitoring visit and/or technical assistance by contacting the KCP Initiative state office.

A. On-Site Monitoring

The on-site monitoring visit will be led by the KCP Consultant, who may be joined by other MDCD or KCP Initiative staff as indicated or as requested by the Grantee. The KCP Consultant will make arrangements for the on-site visit with the 4-S Program Coordinator identified on the signed contract for the program. Specific on-site components will be identified and arranged in partnership with the Grantee and will be formalized by a confirmation letter detailing responsibilities and particulars for the on-site visit. On-site visits will be conducted during normal working hours at the institution. The focus of these visits will always be on abetting Grantee programs that lead to best practices that bolster program participants toward their personal education goals and institutional commitments, reinforcing both participants and support programs.

B. Focus for Select Student Support Services (4-S) Program On-Site Visits

The focus for the on-site review is available as Attachment E and will consist of observations of the instructional/program settings, review of records, procedures, and program materials, and interviews conducted during the on-site monitoring visit.

C. On-Site Visit Follow-up

Concise and specific information of the on-site monitoring visit will be reviewed with the 4-S Program Coordinator, and a written summary will be completed in a timely manner by the KCP Consultant. The follow-up report will address the on-site visit focus identified above.

On-site Visit conclusions will be rated on the following scale:

Program Implementation Exceeds Established Standards - Model Program

Result: A letter of accomplishment and appreciation will be added to the program file and a letter of accomplishment forwarded to the institution President, Chief Operating Officer/Dean and 4-S Program Coordinator. No change in program performance will be required.

Program Implementation Meets Establish Standards

Result: The on-site monitoring report will be added to the program file and a letter of statement will be forwarded to the 4-S Program Coordinator that states that the program meets established standards for KCP Initiative 4-S Programs.

Program Implementation Requires Modification

Result: The on-site monitoring report will be added to the program file with the identification of specific program components requiring modification. A letter of modification will be forwarded to the 4-S Program Coordinator. Issues falling into this category require minor program modification or clarification of understandings. Example: failure to acknowledge support from the MDCCD KCP Initiative on program printed or promotional materials, or significant changes in program strategies or staffing were not indicated in program reports.

Grantee Response: The 4-S Program Coordinator will submit proof of program modifications to the KCP Consultant within 45 days.

Program Implementation Significantly Different from Application or Outside of Legislative or Administrative Guidelines

Result: The on-site monitoring report will be added to the program file with the identification of specific program direction. A certified letter of redirection will be forwarded to the 4-S Program Coordinator and Chief Operating Officer/Dean.

Grantee Response: Within 45 days, the 4-S Program Coordinator will submit an action plan detailing steps that are being/will be taken to ameliorate each of the identified issues. The action plan will also include proof of this change where appropriate. The action plan will be forwarded to the MDCD KCP Initiative Office by certified mail.

MDCD KCP Initiative Response: Upon receipt of the action plan, the KCP Consultant will contact the 4-S Program Coordinator and arrange for a follow-up on-site monitoring visit. When adequate change has been made, the final on-site follow-up will conclude with confirmation of required modification and place the program in “Program Implementation Meets Established Standards.” Final confirmation will be forwarded to the 4-S Program Coordinator and Chief Operating Officer/Dean.

Result of Non-Compliance: Grantees not making adequate progress or failing to make progress: The state will consider the program in default and may immediately cancel the program, resulting in the full return of unused funds and possible obligation for funds expended to date and/or cost incurred by the state on behalf of the program. The specific Program Grantee of the institution will also not be permitted to seek future funding under the KCP Initiative grant programs unless adequate proof that institutional change rectifying the prior problem/situation has been provided. The KCP Grant Administrator will make this determination.

Institution Action Plan

If required, an Institution Action Plan must be submitted. An action plan is a written plan developed by the institution that outlines the exact procedures to be taken to correct items or issues that were identified in the On-Site Monitoring Review Report. The components of the Institution Action Plan must include:

- Name of Institution.
- Date of submission.
- Identification of each/all issue(s) and any recommendation(s) as stated in the On-Site Monitoring Review Report.
- Objective(s) or statement(s) of action to be taken or detail of steps that have been taken to adequately address the identified issue(s).
- As appropriate, identifying specific steps or activities to complete identified objective(s) or action statement(s).
- Timeline(s) or the date each activity/step will begin and be completed, including projected completion date of the full plan.
- Identifying the specific personnel designated to initiate, implement and monitor the progress of each task.

Attachments

Attachment A.....	Sample Mid-Year Progress Report Forms (to be used only when directed by KCP staff: the Mid-Year Progress Report and Final Report Packages are to be electronically submitted beginning this current program period of October 1, 2003 through September 30, 2004).
Attachment B	Sample Final Report Forms (to be used only when directed by KCP staff: the Mid-Year Progress Report and Final Report Packages are to be electronically submitted beginning this current program period of October 1, 2003 through September 30, 2004).
Attachment C	Example of Desk Audit Review of Mid-Year Progress Reports
Attachment D	Example of Desk Audit Review of Final Reports
Attachment E	Example of On-Site Monitoring Focus
Attachment F	Example of Fiscal On-Site Monitoring Focus
Attachment G	Coordinator List

Select Student Support Services (4-S) Program
Mid-Year Progress Report Package Cover Sheet: Due July 9, 2004
Reports are to be entered into the Access Database and electronically submitted

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____

Program Name: _____

Program Coordinator: _____

Address: _____

Phone: _____

Fax: _____

E-mail: _____

Institution Accounting or Contracts & Grants Office Representative:

Print Name

Title

Address: _____

Phone: _____

Fax: _____

E-mail: _____

The following documents comprise the entire 4-S Mid-Year Progress Report package:

- Mid-Year Progress Report Cover Sheet
- Mid-Year Unexpended/Unencumbered Funds Report
- Mid-Year Progress Report
- Significant Change Narrative (if warranted)

This report is to be prepared and signed by both the Program Coordinator **and** the Institution Accounting or Contracts and Grants Office Representative.

Program Coordinator: _____

Sign and Print Name Date

Institution Accounting or Contracts & Grants Office Representative: _____

Sign and Print Name Date

If a hardcopy is requested by KCP, attach this Cover Sheet to the top of your Mid-Year Progress Report Package and mail to:

Michigan Department of Career Development
Office of Postsecondary Services
King•Chávez•Parks Initiative
201 N. Washington Square
Victor Office Center, 4th Floor
Lansing, MI 48913

Phone: (517) 373-9700
Fax: (517) 373-2759

Select Student Support Services (4-S) Program
Mid-Year Unexpended/Unencumbered Funds Report: Due July 9, 2004

Reports are to be entered into the Access Database and electronically submitted

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Guidelines and Definitions:

Grants are to be expended during the program period of October 1, 2003 through September 30, 2004.

- **Approved Program Budget:** Final program budget inclusive of all modifications and revisions approved by the MDCD KCP Initiative during the course of the program period.
- **Program Expenses:** State award and institution matching funds, actual outlays and funds dedicated by purchase order, requisitions, vouchers, signed contract agreements, etc. Provide an up-to-date total of program expenditures from October 1, 2003 through June 30, 2004.
- **Unexpended Program Funds:** State award and institution matching funds NOT committed as actual outlays or dedicated by purchase order, requisitions, signed contract agreements, etc. Project all program expenses anticipated to be incurred July 1, 2004 through September 30, 2004. Anticipated unexpended program funds are those remaining after this projection.

Budget Update

Institution: _____

Program Name: _____

Approved Program Budget

State Award (70%): \$ _____

Institution Contribution (30%): \$ _____

Total Budget: \$ _____

Program Expenses (State and Institution Contribution combined)

Total Expenses as of July 1, 2004: \$ _____

Anticipated Total Expenses as of September 30, 2004: \$ _____

Anticipated Unexpended/Unencumbered Program Funds as of September 30, 2004

State Award Funds Remaining: \$ _____

Institution Contribution Funds Remaining: \$ _____

Program Coordinator Signature: _____

Sign and Print Name

Date

Institution Accounting or Contracts

& Grants Office Representative: _____

Sign and Print Name

Date

If a hardcopy is requested by the KCP Initiative, mail this Mid-Year Unexpended/ Unencumbered Funds Report to:

Michigan Department of Career Development
Office of Postsecondary Services
King•Chávez•Parks Initiative
201 N. Washington Square
Victor Office Center, 4th Floor
Lansing, MI 48913

Phone: (517) 373-9700

Fax: (517) 373-2759

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative

Select Student Support Services (4-S) Program
Mid-Year Progress Report: Due July 9, 2004

Reports are to be entered into the Access Database and electronically submitted

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____

Page 1 of _____

Program Name: _____

Note: List each objective for your program under the “**Program Objective**” category as identified in your proposal. Under the “**Activities to Achieve Objective**” provide a list of all activities completed and/or planned to accomplish each objective. “**Influencing Factors**” are characteristics of the program or participants that influence the extent to which outcome targets are exceeded or not achieved.

Program Objectives	Activities to Achieve Objectives	Influencing Factors

4-S Mid-Year Progress Report

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____

Page _____ of _____

Program Name: _____

Program Objectives	Activities to Achieve Objectives	Influencing Factors

Department of Career Development - King•Chávez•Parks Initiative

Select Student Support Services (4-S) Program**Final Report Package Cover Sheet Due December 10, 2004****Reports are to be entered into the Access Database and electronically submitted**

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____

Program Name: _____

Program Coordinator: _____

Address: _____

Phone: _____

Fax: _____

E-mail: _____

The following documents comprise the entire 4-S Final Report package:

- Final Report Cover Sheet
- Final Expenditure Report: Official Close-out Report submitted by the Institution Accounting or Contracts and Grants Office
- 4-S Program Core Indicator Reports (Complete reports for Core Outcomes #1 and #2)
 - ◆ Core Outcome #1 (Complete only one of the following reports under Core Outcome #1):
 - Target School/College or Institutionwide 4-S Program Core Indicator Report
 - ◆ Core Outcome #2
- 4-S Final Program Summary Report
- Brief Narrative Describing: Program Success and Lessons Learned (Maximum of 3 pages)
- Return payment of unexpended funds (if applicable) to the State of Michigan. **Send the check separately - do NOT enclose the check with the Final Report (if a hardcopy of the Final Report is requested by KCP). Note "KCP 4-S PA 144-03" on the check.**

This report is to be prepared and signed by both the Program Coordinator and Program Evaluator.

Program Coordinator: _____

Sign and Print Name Date

Program Evaluator: _____

Sign and Print Name Date

If a hardcopy is requested by KCP, attach this Cover Sheet to the top of the Final Report package and mail to:

Michigan Department of Career Development
 Office of Postsecondary Services
 King•Chávez•Parks Initiative
 201 N. Washington Square
 Victor Office Center, 4th Floor
 Lansing, MI 48913

Phone: (517) 373-9700

Fax: (517) 373-2759

Final Expenditure Report and Cover Letter Instructions to Institution Accounting or Contracts and Grants Office

Reports are to be entered into the Access Database and electronically submitted.

- A. Program year October 1, 2003 through September 30, 2004 4-S Program state award and institution contribution funds must be completely expended during the program year October 1, 2003 through September 30, 2004.

The Final Expenditure Report **MUST** be prepared in collaboration with the 4-S Program Coordinator and the institution's Accounting or Contracts and Grants Office.

- B. Use the "Final Expenditure Report" sample format. All categories established in the Final Expenditure Report format must be completed.
- C. Final Expenditure Reports are submitted with the 4-S Final Report Package and **MUST** be signed by the authorized signatory for the institution's Accounting or Contracts and Grants office. A sample "Expenditure Report Cover Letter" is provided.

Expenditure Report Form Guidelines and Definitions

Approved Application Budget:

The "approved 4-S Program budget" is the final program budget inclusive of all modifications and revisions approved by the MDCCD KCP Initiative during the course of the program period.

- A. Award Adjustment: Anticipated unexpended funds identified following the 4-S Mid-Year Unexpended/Unencumbered Funds Report may result in the reallocation of state award dollars from one institution to another. If your institution is involved in the reallocation, the adjustment to the 4-S "approved application budget" will be documented in the "Award Adjustment" portion of the Final Expenditure Report as state award dollars transferred in or out as appropriate.
- B. Final Approved Application Budget: To prepare the Final Expenditure Report, use the Final Program Budget, inclusive of all modifications and revisions, approved by the MDCCD KCP Initiative.
- C. Provide both state award and institution matching funds expenditure reporting by line item category with line item specific detail. Line item accounting must justify all categories of the approved 4-S Program budget.

Actual Final Program Expenditures with Adjustments and Line Item Changes

- A. Summarize all modifications to the “Final Approved Application Budget” indicating adjustments as (+) or (-) by line item category. Line item accounting must provide clarity concerning all modifications or revisions made to the program budget. Provide actual expenditures by line item category with line item specific detail.
- B. Source documentation must be provided for each “Dedicated Percentage Time Staff” member identified in the program budget. No unidentified dedicated percentage time staff person may be included in the final report package and may not be reported as paid from 4-S award or institution match funds.
- C. Source documents must be provided for all cost share.
- D. Totals: Summary totals for state award dollars (maximum 70% of total final budget), institution matching funds (minimum 30% of total final budget) and identification of any unexpended state award dollars to be returned to the state.
- E. Unexpended State Award Dollars: State award funds NOT committed by September 30, 2004 as actual outlays or dedicated by purchase order, requisitions, vouchers, signed contract agreements, etc. Identify unexpended state award dollars to be returned to the state and follow the procedures detailed below concerning returning unexpended funds to the State of Michigan.

Procedures for Returning Unexpended Funds

- A. 4-S unexpended funds should be returned by December 10, 2004 (when the electronic submission of the 4-S Final Report Package is due). **Send the check separately - do NOT enclose the check with the Final Report (if a hardcopy of the Final Report is requested by KCP).** If unexpended funds are not returned by the due date, a written explanation for the delay must be submitted to the KCP Initiative by December 10, 2004.
- B. Checks are to be made payable to the State of Michigan and must include a note or memo on the check identifying “KCP 4-S PA 144-03.” **Do NOT enclose the check with the Final Report (if a hardcopy of the Final Report is requested by KCP).**

Checks are to be mailed to: Michigan Department of Career Development
Office of Postsecondary Services
King•Chávez•Parks Initiative
Victor Office Center, 4th Floor
201 N. Washington Square
Lansing, MI 48913

Select Student Support Services (4-S) Program

FINAL EXPENDITURE REPORT SAMPLE FORMAT: Due December 10, 2004

Reports are to be entered into the Access Database and electronically submitted

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Approved Application Budget for (Institution Name): _____

Total State Award (maximum 70%)	Total Institution Match (minimum 30%)	Combined Total Budget (100%)
--	--	-------------------------------------

Award Adjustment (if Applicable)

State Award Dollars Transferred Out (-)	State Award Dollars Transferred In (+)
--	---

Approved Reallocated Application Budget

Reallocated Total State Award (maximum 70%)	Reallocated Total Institution Match (minimum 30%)	Reallocated Combined Total Budget (100%)
--	--	---

Final Approved Application Budget				Actual Final Program Expenditures with Adjustment and Line Item Changes					
Line Item Categories	State Max. 70% 4-S Dollars	Institution Min. 30% 4-S Match Dollars	Line Item Totals	Budget Revision by Line Item		Line Item Expenditures		Unexpended Line Item Funds	
				State	Institution	State	Institution	State	Institution
TOTALS									
Total State Expended Funds (70% max) ➤									
Total Institution Expended Funds (30% min) ➤									
Combined Total Expended Funds (100%) ➤									

Unexpended State Award Dollars to be Returned to the State of Michigan by December 10, 2004 (if applicable): \$ _____

SAMPLE OF 4-S FINAL EXPENDITURE REPORT COVER LETTER

PRINT ON INSTITUTION LETTERHEAD

[Date]

Rudy Redmond, KCP Grant Administrator
King•Chávez•Parks Initiative
Office of Postsecondary Services
Michigan Department of Career Development
Victor Office Center, 4th Floor
201 N. Washington Square
Lansing, MI 48913

Re: *[Institution]*, *[Program Name]*, 4-S Final Expenditure Report
Program Period PA 144-03 October 1, 2003 through September 30, 2004

Attached is a copy of the approved 4-S Program Summary and Budget Detail with approved budget modifications for Program Period October 1, 2003 through September 30, 2004. The Final Expenditure Report has been prepared by the *[Institution Accounting or Contracts and Grants Office]* of *[Institution Name]* and reports the actual expenditures for each line item of the approved detailed budget. Documentation supporting all cost share items and percentage time charges to the grant for each program staff person identified as “Dedicated Percentage Time Staff” is attached.

If you have any questions, contact *[include appropriate contact information for the institution Accounting or Contracts and Grants Representative preparing the Final Expenditure Report and this cover letter]*.

Sincerely,

[Institution Accounting or Contracts and Grants Representative]
[Title]

Attachments

c: Institution 4-S Program Coordinator

Select Student Support Services (4-S) Program

TARGET COLLEGE/SCHOOL CORE INDICATOR REPORT* - Core Outcome #1

Report Due December 10, 2004: reports are to be entered into the Access Database and electronically submitted

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Core Outcome #1: Increase retention of participating academically and economically disadvantaged students on to graduation.

Core Indicator: Smaller gap between the percent of 4-S participants who are retained at the college compared with the overall retention rate for the college/school.

***NOTE: Complete only ONE of the following: Target College/School OR Institutionwide Core Indicator Report. Complete ALL information requested below.**

Formula for calculating 4-S Retention Rate:

- Total number of 4-S students served during current year (X) minus the number of students who left the 4-S Program during current year (Y), equals remaining number (N).
- Divide the remaining number (N) by the total number of 4-S students served during the current year (X).

$$(X - Y) = N, (N / X) = 4-S \text{ Retention Rate.}$$

Definitions:

Institutionwide Retention Ratethe actual institution retention rate (percentage) reported by your institution for this current year.

College/School Retention Ratethe actual college/school retention rate (percentage) reported by your institution for this college/school for this current year. (The 4-S retention rate should be computed as indicated in the formula listed above).

Retention.....Students who continue to work toward completion of a degree.

College/School.....A degree granting program, i.e. College of Nursing/School of Nursing.

Institution: _____ Program Name: _____

Define your process for identifying academically and economically disadvantaged target 4-S program participants: _____

Year 1 Program: PA 144-03 Academic Year _____ (numbers reported apply to current year only)

	Native American		African American		Latino		Multi-Racial		White		Not Classified Elsewhere		TOTAL	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Total # of students in college/school														
Total # of students graduating from college/school														
Total # of students retained in target college/school														
Retention rate of college/school students														
Total # of 4-S students served														
Total # of 4-S graduates														
Total # of 4-S students retained														
Retention rate of 4-S students														
Total # of 4-S students retained but <u>NOT</u> continuing in 4-S program														

Select Student Support Services (4-S) Program

INSTITUTIONWIDE CORE INDICATOR REPORT* - Core Outcome #1

Report Due December 10, 2004: reports are to be entered into the Access Database and electronically submitted

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Core Outcome #1: Increase retention of participating academically and economically disadvantaged students on to graduation.

Core Indicator: Smaller gap between the percent of 4-S participants who are retained at the college compared with the overall retention rate for the college/school.

***NOTE: Complete only ONE of the following: Target College/School OR Institutionwide Core Indicator Report. Complete ALL information requested below.**

Formula for calculating 4-S Retention Rate:

- Total number of 4-S students served during current year (X) minus the number of students who left the 4-S Program during current year (Y), equals remaining number (N).
- Divide the remaining number (N) by the total number of 4-S students served during the current year (X).

$$(X - Y) = N, (N / X) = 4-S \text{ Retention Rate.}$$

Definitions:

Institutionwide Retention Ratethe actual institution retention rate (percentage) reported by your institution for this current year.

College/School Retention Ratethe actual college/school retention rate (percentage) reported by your institution for this college/school for this current year. (The 4-S retention rate should be computed as indicated in the formula listed above).

Retention.....Students who continue to work toward completion of a degree.

College/School.....A degree granting program, i.e. College of Nursing/School of Nursing.

Institution: _____ Program Name: _____

Define your process for identifying academically and economically disadvantaged target 4-S program participants: _____

Year 1 Program: PA 144-03 Academic Year _____ (numbers reported apply to current year only)

	Native American		African American		Latino		Multi-Racial		White		Not Classified Elsewhere		TOTAL	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Total # of students in college/school														
Total # of students graduating from college/school														
Total # of students retained in target college/school														
Retention rate of college/school students														
Total # of 4-S students served														
Total # of 4-S graduates														
Total # of 4-S students retained														
Retention rate of 4-S students														
Total # of 4-S students retained but <u>NOT</u> continuing in 4-S program														

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative
Select Student Support Services (4-S) Program
CORE INDICATOR REPORT: Core Outcome #2
Report Due December 10, 2004

ATTACHMENT B

Reports are to be entered into the Access Database and electronically submitted

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____

Program Name: _____

Core Outcome #2: Program started through 4-S funding will still be serving academically and economically disadvantaged students after termination of KCP/state funding.

Core Indicator #2: Implemented strategies for moving away from KCP/state funding to internal institution and/or other funding sources allowing for the continuation of 4-S services to academically and economically disadvantaged students.

Write below concrete examples of the steps being taken to move away from KCP/State funding and replace with internal institution funding and/or other external funding sources. Include specific examples that include the following areas:

Strategic Planning Activities

Staff

Program Implementation Responsibilities

Budget

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative
Select Student Support Services (4-S) Program
Final Program Summary Report: Due December 10, 2004
Reports are to be entered into the Access Database and electronically submitted
Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

ATTACHMENT B

Institution: _____

Program Name: _____

Page 1 of

Note: List each objective for your program under the “Program Objective” category as identified in your proposal. Provide “Outcome” data for each objective. Outcomes: data is specific, demonstrates observable change or accomplishments toward identified (in proposal application) goals/outcomes. Outcome information demonstrates benefits participants have received through their participation assisting them with new knowledge, increased skills, changed attitudes or values, modified behavior, improved conditions, and/or altered status (i.e. graduation). Quantifiable data indicators include numbers, percentages, amounts, averages, medians, and ratings. Provide initial, intermediate, and long-term outcomes as appropriate. Influencing Factors: Characteristics of the program or participants that influence the extent to which outcome targets are exceeded or not achieved.

Program Objectives	Outcomes	Influencing Factors

4-S Final Program Summary Report

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____

Page _____ of _____

Program Name: _____

Program Objectives	Outcomes	Influencing Factors

Select Student Support Services (4-S) Program

KCP Monitoring Desk Audit Review

Mid-Year Progress Reports – Electronic Submission Due July 9, 2004

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____ **Program Name:** _____ **Year 1 of a 3-year program**

PA 144-03 Report Components	Date Received	Received By			Ready for Review			Modifications Required Before Review			Comments
		Yes	No	NA	Yes	No	NA	Yes	No	NA	
Cover Sheet		Yes	No	NA	Yes	No	NA	Yes	No	NA	
Unexpended/Unencumbered Funds		Yes	No	NA	Yes	No	NA	Yes	No	NA	
Mid-Year Progress Report		Yes	No	NA	Yes	No	NA	Yes	No	NA	
Significant Change Narrative		Yes	No	NA	Yes	No	NA	Yes	No	NA	

Overall Comments:

Technical Assistance Participation Opportunities	Date	Participation		Comments:
RFP Meeting		Yes	No	
Program Meeting		Yes	No	
Equity in the Classroom Conference		Yes	No	
Other:		Yes	No	

**Select Student Support Services (4-S) Program
KCP Monitoring Desk Audit Review**

Page 2 of 3

Mid-Year Progress Reports – Electronic Submission Due July 9, 2004

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Review Criteria	Exceeds Established Standard	Meets Established Standard	Modifications Needed	Comments
All program objectives identified in the application were included in the Mid-Year Progress report & provide status info. concerning progress made toward established targets.			Yes No	
Objectives and/or program components are making adequate progress. If No, explain:			Yes No	
If appropriate, influencing factors were identified and clearly explained for each objective or program component influenced.				
Collected data sources provide clear indication of progress toward identified program goals and objective targets. If No, explain:			Yes No	
Overall, the report demonstrates that the program services are targeted to academically and economically disadvantaged students as defined by the institution.			Yes No	
Core Indicator #1: Overall, the report demonstrates the program is focused on the persistence onto graduation of acad. and econ. disadvantaged students being served by the program.			Yes No	
Core Indicator #2: Overall, the rpt. demonstrates that an effort is being made to move the entire program or specific components of the program from state grant support to institution support.			Yes No	

Page 3 of 3

Select Student Support Services (4-S) Program
KCP Monitoring Desk Audit Review
Mid-Year Progress Reports – Electronic Submission Due July 9, 2004

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Risk Factor Considerations (i.e. Proposal Application Review findings, concerns arising from this desk audit review, experience/familiarity with 4-S requirements, prior year reports, dollar amount of program, last site visit, institutional history)

Technical Assistance Considerations:

Circle one

Site Visit Warranted? YES NO

Regularly scheduled On-Site during current program period scheduled for this 4-S Program? Circle one
YES NO

If YES, date: _____ With Whom: _____

Last On-Site Monitoring Date: _____ By Whom: _____

KCP Consultant Signature: _____ Date Completed: _____

Original filed in KCP Institution File. Copies To: _____

State of Michigan
Department of Career Development - King•Chávez•Parks Initiative

ATTACHMENT D

Select Student Support Services (4-S) Program

KCP Monitoring Desk Audit Review

Final Reports –Electronic Submission Due December 10, 2004

Program Period: October 1, 2003 through September 30, 2004

PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____ **Program Name:** _____ **Year 1 of a 3-year program**

Report Components	Date Received	Received By Due Date	Ready for Review	Modifications Required Before Review	Comments
Cover Sheet		Yes No	Yes No	Yes No	
Final Expenditure Report		Yes No	Yes No	Yes No	
4-S Outcome Core Indicator #1 Report		Yes No	Yes No	Yes No	
4-S Core Outcome Indicator #2 Report		Yes No	Yes No	Yes No	
Final Program Summary Report		Yes No	Yes No	Yes No	
Brief Narrative		Yes No	Yes No	Yes No	
Returning of unexpended funds		Yes No NA	NA	NA	

Review Criteria	Exceeds Established Standard	Meets Established Standard	Modifications Needed	Comments
All program objectives identified in the application were included in the final report and provide status information concerning progress toward established targets. If No, identify the objective and explain:			Yes No	
Collected data sources provide a clear indication of the services provided by the 4-S Program and the influence services are having on the retention and persistence of program participants. If No, explain:			Yes No	

Select Student Support Services (4-S) Program
KCP Monitoring Desk Audit Review
Final Reports –Electronic Submission Due December 10, 2004

Page 2 of 3

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Review Criteria	Exceeds Established Standard	Meets Established Standard	Modifications Needed	Comments
Core Indicator #1: Core Indicator #1 Report provides evidence that this 4-S Program is impacting the retention rate of program participants.			Yes No	
Core Indicator #2: Core Indicator #2 Report provides evidence that this 4-S Program is working toward institutionalization of components of the program and/or the full program to remain after state funding ends.			Yes No	
Core Indicator #2: Specific components of the 4-S Program have moved from state grant support to institution support, providing a strong indication that, at a minimum, components of the program will remain after state funding ends.			Yes No	
The Final Expenditure Report was prepared in collaboration with the institution's Accounting or Contracts and Grants Office as evidenced by report signatures.			Yes No	
The Final Expenditure Report demonstrates the use of a maximum of 70% state KCP award funds and a minimum 30% institution funds in the final totals of the program period expenditures.			Yes No	
The Final Expenditure Report demonstrates that costs were reasonable and justifiable and only eligible 4-S expenditures were part of the program period budget. If No, explain:			Yes No	
The Final Expenditure Report, if appropriate, provides clarification concerning any discrepancy between the Spring and Mid-Year Progress Report expenditures.			Yes No	
Copies of source documents are attached to the Final Expenditure Report for each Percentage Time Staff member as well as all cost share items.			Yes No	

Select Student Support Services (4-S) Program
KCP Monitoring Desk Audit Review
Final Reports –Electronic Submission Due December 10, 2004

Page 3 of 3

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Circle one

Are there examples of “Best Practice” models that can be shared for replication? YES NO

If YES, explain:

Overall Comments:

Risk Factor Considerations (i.e. Proposal Application Review findings, concerns arising from this desk audit review, experience/familiarity with 4-S requirements, prior year reports, dollar amount of program, last site visit, institutional history)

Technical Assistance Considerations:

Circle one

Site Visit Warranted? YES NO

Last On-Site Monitoring Date: _____ By Whom: _____

KCP Consultant Signature: _____ Date Completed: _____

Original filed in KCP Institution File. Copies to: _____

Select Student Support Services (4-S) Program
On-Site Monitoring Focus

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

Institution: _____ **Year 1 of a 3-year program.**

Program Name: _____

Last Institution On-Site/Program(s) visited (include year): _____

1. Considerations needing on-site monitoring as a result of "Monitoring Desk Audit Review:"

2. Risk factors to be considered during on-site:

3. Technical assistance focus for on-site.

4. Is implementation consistent with the approved grant application? Circle one
YES NO
Comments:

5. Does the program have clear and consistent definitions, criteria and procedures for the selection of program participants who are academically and economically disadvantaged?

Circle one
YES NO

Comments:

**Select Student Support Services (4-S) Program
On-Site Monitoring Focus**

Page 2 of 3

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

6. CORE INDICATOR/RETENTION: Does this 4-S Program maintain appropriate data indicators to track participant retention compared to the overall retention rate for the college or program?

Circle one
YES NO

Concrete indicators include:

7. CORE INDICATOR/INSTITUTIONALIZATION: Are indicators evident that services for academically and economically disadvantaged students that have been provided as the result of KCP funding for the 4-S Program will continue with reduced funding or after the termination of funding?

Circle one
YES NO

Concrete examples include:

8. 4-S Program Marketing Materials:

- Do the materials represent program intent consistent with legislation and administrative guidelines?

Circle one
YES NO

Comments:

- Is support from the state's KCP Initiative acknowledged?
Comments:

Circle one
YES NO

Select Student Support Services (4-S) Program
On-Site Monitoring Focus

Page 3 of 3

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

9. Are there indicators that this 4-S Program has developed new models of "Best Practice" for the retention of academically and economically disadvantaged?

Circle one
YES NO

Examples of "Best Practice:"

On-Site Visit Conclusion:

- ☐ Program Implementation Exceeds Established Standards
☐ Program Implementation Meets Established Standards
☐ Program Implementation Requires Modification
☐ Program Implementation Significantly Different than Application or Outside of Legislation or Administrative Guidelines: Redirection attachment forwarded dated: _____

KCP Consultant: _____ Date Completed: _____

Follow-up Completed: _____

Original(s) filed in KCP institution file.

Copies forwarded to: _____

**Select Student Support Services (4-S) Program
Fiscal On-Site Monitoring Focus**

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

KCP Program: **All Programs**

Last Program On-Site: _____

Institution: _____

Please have the following materials available on the date established for your KCP Program On-Site visit. As indicated below, some material will be reviewed on-site and returned to the program immediately, items identified for a hard copy may become part of the institution's state program file.

Institutions **MUST** have a hard copy of the following materials available for the State Department representatives to keep if they so decide:

- Chart of Accounts
- Institution's Cost Allocation Methodology/Plan and how it is utilized for the KCP Program
- Institution's Administrative Guidelines/Accounting Policies and Procedures
- Accounting Policies and Procedures that apply specifically to the KCP Program that are not covered within the general institution guidelines/procedures
- Cost Sharing/Match Methodology for this KCP Program

The Institution's KCP Program **MUST** have available for review the following materials:

- Copy of the current year state approved KCP Program operational budget, which includes both state and required institution support dollars
- Copy of the most recent institution provided accounting statement indicating all activity for both state and institution support on each line items of the budget
- Copy of the Institution's most recent accounting report indicating the match/cost share activity of the institution for this KCP Program

The Institution **MUST** have available for review Approved and Close-Out Operational KCP Program budgets and support documentation for the following state fiscal years:

- P.A. 118 (October 1, 2001 to September 30, 2002)
- P.A. 298 (October 1, 2000 to September 30, 2001)
- P.A. 93 (October 1, 1999 to September 30, 2000)

Note:

Please be prepared to discuss and provide supporting documentation, where applicable, to the questions noted in both the General Fiscal Questions and the KCP-Related Fiscal Questions sections noted below. Also, a representative from the institution's Accounting and/or Contracts and Grants Office who is responsible for the fiscal management of the KCP Programs on behalf of the institution must be available for the Fiscal portion of the KCP On-Site Monitoring Visit.

**Select Student Support Services (4-S) Program
Fiscal On-Site Monitoring Focus**

Page 2 of 8

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

General Fiscal Questions

1. What significant changes, if any, have there been in the institution's accounting system? What impact has this had on the various KCP Programs?

2. What, if any, significant changes have occurred in either the staffing or the program direction and administration of the various KCP Programs? What impact has this had on the accounting systems or fiscal monitoring of the KCP Programs?

Select Student Support Services (4-S) Program
Fiscal On-Site Monitoring Focus

Page 3 of 8

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

3. Is the accounting for the university centralized or decentralized - (i.e., Do the program areas have a staff person on-site to assist perform fiscal duties? If so, are these individuals required to have a degree or background in the finance or accounting?

4. If a decentralized accounting system is utilized to what extent is it decentralized? Do the program areas enter their own transactions or do they just prepare the journal vouchers for entry by the central accounting office?

5. What input do the program areas have in setting up accounting coding for new programs?

6. What is done with transactions that are questionable (i.e., the accounting office either does not agree with how it was charged or does not understand what the program area was attempting to do)?

Select Student Support Services (4-S) Program
Fiscal On-Site Monitoring Focus

Page 4 of 8

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

7. Results of review of records noted above:
We were provided the requested records. Our assessment of each of those records is as follows:

▪ **Chart of Accounts**

▪ **Cost Allocation Methodology/Plan**

▪ **Administrative Guidelines and Accounting Procedures**

▪ **Match/Cost Sharing Methodology**

Select Student Support Services (4-S) Program
Fiscal On-Site Monitoring Focus

Page 5 of 8

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

KCP-Related Fiscal Questions

1. Describe the process used to review and approve the budgets and accounting reports for the KCP Programs?

2. How are the KCP Programs monitored/audited by the institution?

**Select Student Support Services (4-S) Program
Fiscal On-Site Monitoring Focus**

Page 6 of 8

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

3. How does the institution apply cost sharing to the KCP Programs?

FOR INFORMATION

4. Describe how the institution's accounting procedures provide for the separate accounting and tracking of state, institution and other funding sources used to support this KCP Program?

INFORMATION ONLY

**Select Student Support Services (4-S) Program
Fiscal On-Site Monitoring Focus**

Page 7 of 8

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

5. How are the personnel costs documented, accounted for and verified/audited? What type of documentation is used:
- Semi-annual employee/supervisor certification (for those that are charged 100% to a specific state or federally funded program)?
 - For those that are charged to several programs, how does the time-reporting system allow for and account for this?
 - What do the KCP Programs do to ensure compliance with these procedures, especially for "Dedicated Percentage Time of KCP Program Staff"?

6. Please describe the nature and extent of the on-going working relationship between the various KCP Programs and the institution's Accounting and/or Contracts & Grants Office responsible for the fiscal monitoring of the program on behalf of the institution?

**Select Student Support Services (4-S) Program
Fiscal On-Site Monitoring Focus**

Page 8 of 8

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

7. Describe the procedures used and frequency of reconciliations of KCP Program fiscal records and reports with the institutions accounting records? If performed, who performs them, (i.e., central accounting staff or program staff)?

FOR INFORMATION

**Institution Summary/Evaluation of
KCP Fiscal Review**

Fiscal On-Site Conclusion:

- ____ Program Implementation Meets Establish State Guidelines
- ____ Program Implementation Requires Modifications as indicated in the attached.
- ____ Program Implementation Significantly Different that State Policies and/or Legislative direction: Redirection required per attachment.

Monitoring Completed By: _____ Date: _____

Follow-Up Required: Yes No

Report Copies Forwarded To: _____ Date: _____

**Select Student Support Services (4-S) Program
Coordinator List**

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

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**Select Student Support Services (4-S) Program
Coordinator List**

Program Period: October 1, 2003 through September 30, 2004
PA 144-03 of 2003: Year One of a Three-Year Grant Cycle

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